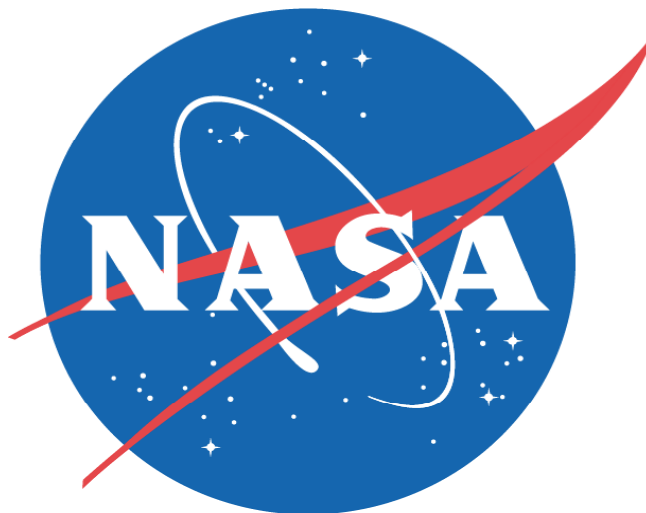


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Planning



**NASA Headquarters
Office of Space Science (OSS)**

Office Work Instruction

Performance Planning

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (10/26/2001)
Dr. Earle K. Huckins
Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Planning**DOCUMENT HISTORY LOG**

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	<ul style="list-style-type: none">Initial "baseline" version of the OWI.
Revision	A	05/10/1999	<ul style="list-style-type: none">Incorporates modifications responsive to NCRs #279, #293, #296, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.
Revision	B	11/16/1999	<ul style="list-style-type: none">Clarifies references to "Performance Plan Indicators (PPI's)" vis-a-vis "Performance Plan Targets (PPT's)".Changes all references to "Education and Public Outreach (EPO)" to become "Education and Outreach (E&O)".Modifies process description in Section #6, Step 6.2 to clarify "review" and "approval" activities.Revises set of "quality record" and "non-quality record" output products in Section 6 and Section 7.Incorporates recent terminology and format standardization.
Revision	C	10/26/2001	<ul style="list-style-type: none">Incorporates impact of OSS reorganization (effective 07/01/2001).Clarifies SSE E&PO involvement in SSE performance-planning process.Incorporates new title of HCP3410-4B into Section 4.Incorporates url's for referenced documents into Section 4.Incorporates process modifications identified by new Process Owner into Section 5 and Section 6.Clarifies specific functional roles of Action Officers in Section 5 and Section 6.Updates quality-record information in Section 7.Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.

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1. PURPOSE

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) develops and documents Space Science Enterprise (SSE) Annual Performance Goals (APG's) in accordance with the NASA annual fiscal-year budget process. The APG's are subsequently provided to Code B for incorporation into the NASA Performance Plan required by the Government Performance and Results Act (GPRA) of 1993.

2. SCOPE AND APPLICABILITY

- 2.1 Preparation of the SSE APG's and supporting Performance Plan Indicators (PPI's) is the responsibility of an OSS Code SP Program Analyst, based upon information obtained from program and project offices at the NASA Centers and/or cognizant Program Executives, the Education and Public Outreach Director (E&POD), and the Directors and Program Scientists from Code SE, Code SM, Code SS, and Code SZ, with coordinating support from the Strategic and International Planning Director (SIPD).

3. DEFINITIONS

- 3.1 AA. Associate Administrator for Space Science.
- 3.2 APG. Annual Performance Goal.
- 3.3 CIC. NASA's Capital Investment Council, which is the principal advisory group to the NASA Administrator in resolving issues, prioritizing activities (capital investments, functional initiatives, and programs), and balancing resources among the Strategic Enterprises.
- 3.4 Code B. NASA Headquarters Office of the Chief Financial Officer.
- 3.5 Code SE. OSS Solar System Exploration Division.
- 3.6 Code SM. OSS Mars Exploration Program Office.
- 3.7 Code SP. OSS Resources Management Division.
- 3.8 Code SS. OSS Sun-Earth Connection Division.

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3. DEFINITIONS (*concluded*)

- 3.9 Code SZ. OSS Astronomy and Physics Division.
- 3.10 EDP. OSS Executive Director for Programs.
- 3.11 EDS. OSS Executive Director for Science.
- 3.12 E&PO. Education and Public Outreach.
- 3.13 E&POD. OSS Education and Public Outreach Director.
- 3.14 GPRA. Government Performance and Results Act.
- 3.15 OMB. Office of Management and Budget (within the Executive Office of the President of the United States).
- 3.16 OSS. NASA Headquarters Office of Space Science.
- 3.17 Program Operating Plan (POP). Annual fiscal-year solicitation to NASA Centers by NASA Headquarters for planning information (including proposed budgets) for activities for the new budget year.
- 3.18 PPI. Performance Plan Indicator.
- 3.19 Research and Analysis (R&A). Programs that fund supporting scientific research such as instrumentation, theory, and data analysis.
- 3.20 SIPD. OSS Strategic and International Planning Director.
- 3.21 SSE. NASA Space Science Enterprise.
- 3.22 TD. OSS Technology Director.

4. REFERENCES

- 4.1 ANSI/ISO/ASQC Q9001-1994
American National Standard, Quality Systems -- Model for
Quality Assurance in Design, Development, Production,
Installation, and Servicing

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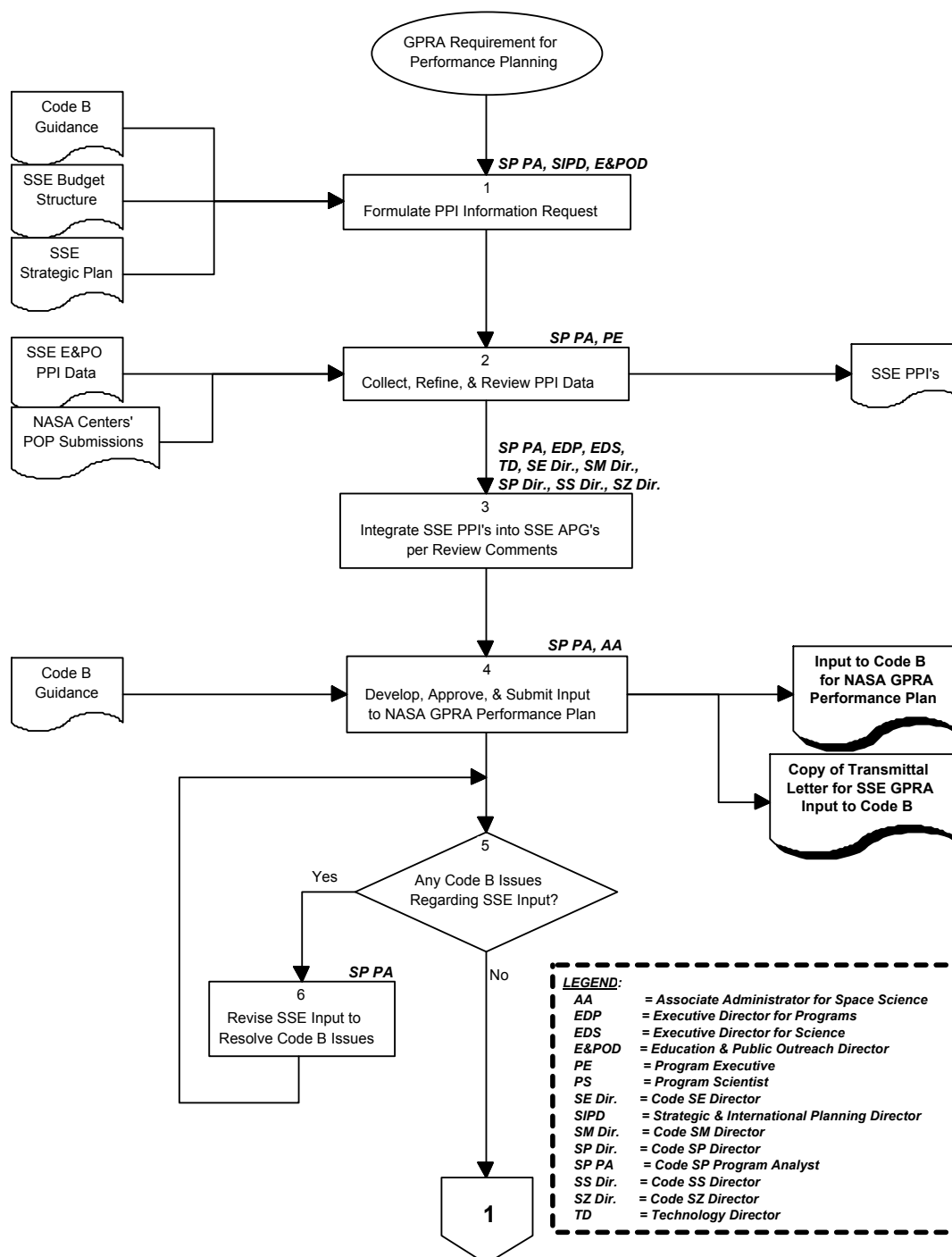
4. REFERENCES (concluded)

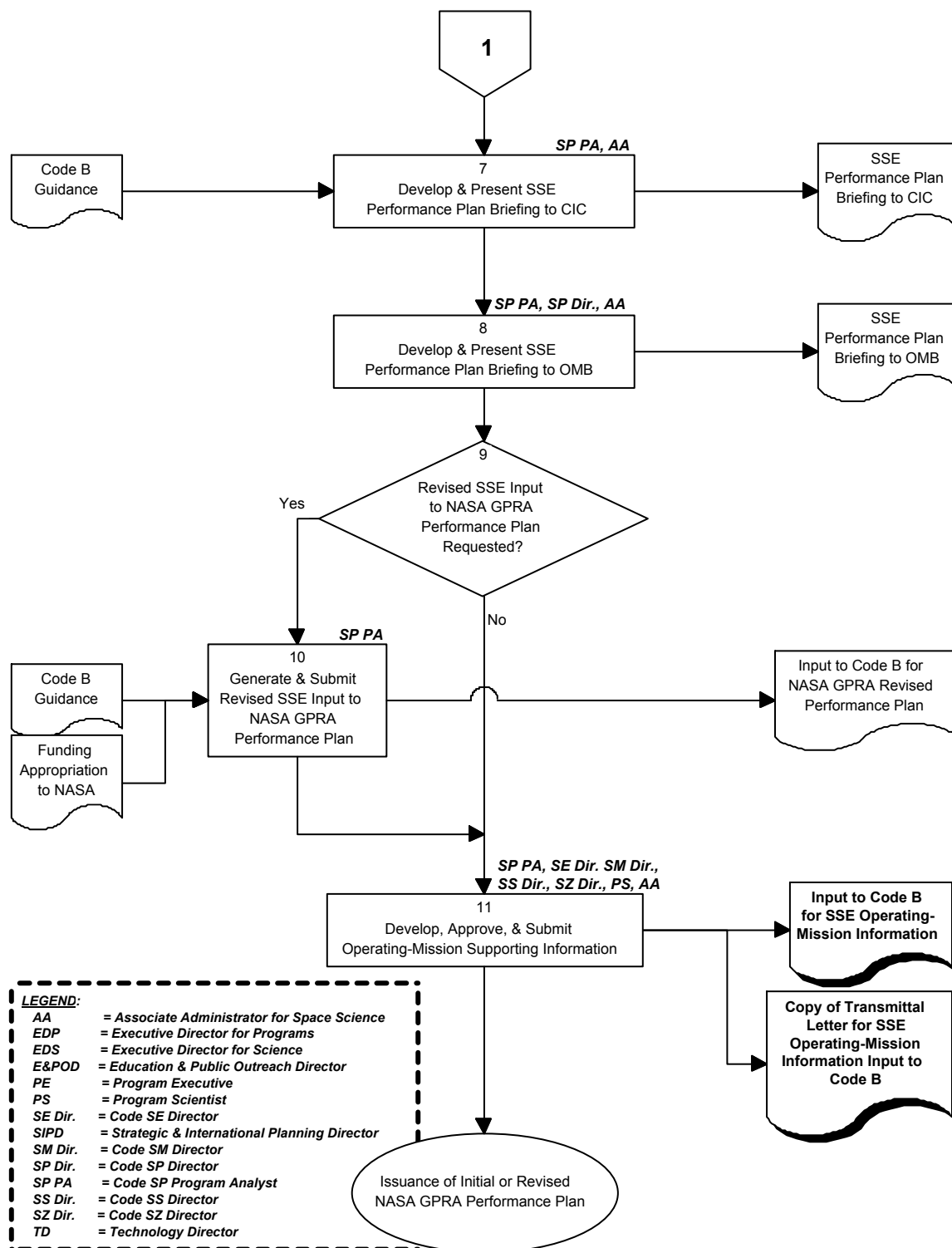
- 4.2 HCP1400-1 Document and Data Control
[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1400-1.html]
- 4.3 HCP1280-2 Corrective and Preventive Action
[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-2.html]
- 4.4 HCP1280-3 Internal Quality Audits
[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP1280-3.html]
- 4.5 HCP3410-4 Quality System Training
[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HCP3410-4.html]
- 4.6 HQPC1150.1 NASA Headquarters Quality Council Policy Charter
[<http://nodis.gsfc.nasa.gov/Library/Directives/HQ/>]
- 4.7 HQSM1200-1 NASA Headquarters Quality System Manual
[http://www.hq.nasa.gov/hqiso9000/library/iso9000_detail_HQSM1200-1.html]
- 4.8 NPD 1000.1 NASA Strategic Plan
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___]
- 4.9 NPD 8730.3 NASA Quality Management System Policy (ISO 9000)
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=8___]
- 4.10 NPG 1000.2 NASA Strategic Management Handbook
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___]
- 4.11 NPG 1000.3 The NASA Organization
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___]
- 4.12 NPG 1441.1 NASA Records Retention Schedules (NRRS)
[http://nodis.hq.nasa.gov/Library/Directives/NASA-WIDE/Procedures/Organization_and_Administration/contents.html]
- 4.13 Government Performance and Results Act (GPRA) of 1993

Subject: Performance Planning**5. FLOWCHART**

[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]



Subject: Performance Planning**5. FLOWCHART (concluded)**

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Planning**6. PROCEDURE**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
1	Code SP Program Analyst SIPD E&POD	In accordance with NASA-level guidance received from Code B (e.g., potential Performance Plan formulation instructions to NASA Centers), the current SSE budget structure, and the current SSE Strategic Plan and in consultation with the SIPD, the Code SP Program Analyst formulates a Performance Plan Indicator (PPI) information request that is incorporated into the NASA Program Operating Plan (POP) call that initiates its budget cycle. These PPI's are events in OSS-budgeted programs and projects that will occur during the fiscal year of the OSS/SSE budget in development. Not all budget elements can be represented by discrete events; some programs (such as R&A, data analysis, and some basic-technology research programs) are evaluated at the conclusion of the fiscal year by a retrospective assessment process. These are explicitly identified and excluded from the request for event-based PPI's.
2	Code SP Program Analyst Program Executives	The Code SP Program Analyst receives SSE Education and Public Outreach (E&PO) PPI data from the E&POD and POP submissions from the NASA Centers, refines these inputs into PPI's, and reviews them with the cognizant Program Executives in Code SE, Code SM, Code SS, and Code SZ.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code SJ]

Subject: Performance Planning**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
3	Code SP Program Analyst EDP EDS TD Code SE Director Code SM Director Code SP Director Code SS Director Code SZ Director	As the OSS/SSE budget proposal matures, the Code SP Program Analyst checks the collected PPI's for continued alignment with the budget. The objective is to produce a representative set of clearly-verifiable milestone accomplishments selected by the Director of Code SP and the Code SP Program Analyst (i.e., the objective is not to develop an exhaustive statusing framework for each individual project, but rather a broad means to assess the integrated condition of the SSE at the end of the fiscal year). The Code SP Program Analyst integrates the PPI's into APG's and circulates them for comment to the: (1) OSS Executive Director for Programs (EDP); (2) OSS Executive Director for Science (EDS); (3) OSS Technology Director (TD); and (4) Directors of Codes SE, SM, SP, SS, and SZ. As a component of the budget proposal, the APG's may be included in the budget embargo.
4	Code SP Program Analyst AA	The GPRA requires federal agencies to submit a formal performance plan with their budget submissions for each fiscal year. Responding to Code B guidance, the Code SP Program Analyst formats the APG's and PPI's and develops accompanying narrative material for incorporation into the NASA GPRA Performance Plan. The Associate Administrator for Space Science indicates approval of the SSE input to the NASA GPRA Performance Plan via signature on the accompanying transmittal letter. The Code SP Program Analyst then forwards the SSE GPRA Performance Plan input to Code B.
5		If Code B notifies the Code SP Program Analyst of issues it has regarding the SSE input to the NASA GPRA Performance Plan, proceed to Step #6. If not, proceed to Step #7.
6	Code SP Program Analyst	The Code SP Program Analyst revises the SSE input to resolve the issues raised by Code B and resubmits the revised SSE input to the NASA GPRA Performance Plan to Code B at Step #5.

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Subject: Performance Planning**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
7	Code SP Program Analyst AA	In accordance with guidance from Code B, the Code SP Program Analyst develops briefing materials on the SSE Performance Plan input for presentation to the NASA Capital Investment Council (CIC) by the Associate Administrator for Space Science (or designee).
8	Code SP Program Analyst Code SP Director AA	The Code SP Program Analyst and the Code SP Director develop materials on the SSE Performance Plan input to be presented by the Associate Administrator for Space Science (or designee) as part of the budget briefing to the Office of Management and Budget (OMB).
9		If the SSE initial input to the NASA GPRA Performance Plan needs to be revised, proceed to Step #10. If not, proceed to Step #11.
10	Code SP Program Analyst	In accordance with guidance from the cognizant Code B analyst, the Code SP Program Analyst reviews NASA's Congressional funding appropriation for impacts to the SSE APG's and PPI's. The Code SP Program Analyst consults with Code S Program Executives and/or the Directors of Codes SE, SM, SS, and SZ for making any adjustments to the APG's and PPI's. The Code SP Program Analyst submits any modifications to the SSE input to the NASA GPRA Performance Plan to Code B.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Planning**6. PROCEDURE (concluded)**

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
11	Code SP Program Analyst Code SE Director Code SM Director Code SS Director Code SZ Director Program Scientists AA	Approximately six to ten weeks before the beginning of the fiscal year to which the SSE input to the NASA GPRA Performance Plan applies, the Code SP Program Analyst works with the Directors and cognizant Program Scientists in Codes SE, SM, SS, and SZ to document specific operating-mission information to support related PPI's. The Associate Administrator for Space Science indicates approval of this supporting information via signature on the accompanying transmittal letter. The Code SP Program Analyst forwards the input to Code B prior to the first day of the fiscal year.

7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Input to Code B for NASA GPRA Performance Plan	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Copy of transmittal letter for SSE GPRA Input to Code B	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Input to Code B for SSE Operating-Mission Information	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Copy of transmittal letter for SSE Operating-Mission Information Input to Code B	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]